

IN THE UNITED STATES DESIGNATED/ELECTED OFFICE

International Application No. : PCT/EP2003/009801

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Priority Date(s) Claimed : 18 September 2002 (18.09.2002)

Applicant(s) (DO/EO/US) : Adalbert HUBER, ET AL.

Title: EFFECT PIGMENTS THAT ARE SURFACE-MODIFIED WITH LCST AND/OR UCST POLYMERS

INFORMATION DISCLOSURE STATEMENT UNDER 37 CFR §§ 1.56, 1.97 and 1.98

Commissioner for Patents P.O. Box 1450 Alexandria, VA 22313-1450

Sir:

This information disclosure statement is made in accordance with 37 C.F.R. §§ 1.56, 1.97 and 1.98 as follows:

Timing and Fees

\boxtimes	Under 37 C.F.R. § 1.97(b), no fee or statement is required for filing this information disclosure statement is filed:				
		within three months of the filing date of a national application other than a CPA under § 1.53(d);			
	\boxtimes	within three months of the actual filing date of the national phase of a PCT application; OR			
		before the mailing of a first substantive office action (including after filing of an RCE).			
	Under 37 C.F.R. § 1.97(c), this information disclosure statement is filed after the per specified in 37 C.F.R. § 1.97(b), but before the mailing date of:				
		a final rejection under 37 C.F.R. 1.113; termination of prosecution, e.g. Ex Parte Quayle, M.P.E.P § 609(B)(2); OR a notice of allowance under 37 C.F.R. § 1.311; and			



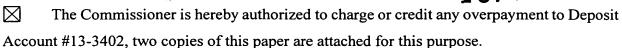
		is accompanied by.					
			the statement as specified in 37 C.F.R. § 1.97(e) set out below; OR				
			a check covering the fee of \$180.00 under 37 C.F.R. § 1.17(p).				
			R. § 1.97(d), this information disclosure statement is filed after the mailing lowing actions which have not been withdrawn:				
		a final	action under 37 C.F.R. § 1.113;				
		termin	nation of prosecution, e.g. Ex Parte Quayle, M.P.E.P § 609(B)(2);				
		OR a ı	notice of allowance under 37 C.F.R. § 1.311;				
	AND i	is filed	on or before payment of the issue fee; AND is accompanied by:				
			tement as specified in 37 C.F.R. § 1.97(e) as set forth below, and the fee of 00 under 37 C.F.R. § 1.17(p).				
Staten	nents Uı	nder 37	C.F.R. 1.97(e)				
			Each item of information contained in this information disclosure statement was cited in a communication from a foreign patent office in a counterpart foreign application having a mailing date not more than three months prior to the filing date of this information disclosure statement; or				
			No item of information contained in this information disclosure statement was cited in a communication from a foreign patent office in a counterpart foreign application, and to the knowledge of the undersigned attorney after making reasonable inquiry, no item of information contained in this information disclosure statement was known to any individual designated in 37 C.F.R. § 1.56(c) more than three months prior to the filing date of the information disclosure statement.				
Cited 1	<u>Materia</u>	<u>ls</u>					
		Copies of materials listed but not attached were cited in benefit (35 U.S.C. § 12 ancestor application Serial No, on Form 892 by the Examiner and/or Fo 1449 by the applicant; see 37 C.F.R. § 1.98(d).					
	\boxtimes	-	s of materials listed but not attached were cited in an international search dated February 19, 2004.				
		Not re	quired by 37 CFR § 1.98.				
		Copies	s of the materials listed are attached (except for the foregoing).				



Non-E

Non-Engl	1sh Language References
	An English-language search report or equivalent paper from a foreign patent office is provided indicating the relevance of the cited reference(s).
\boxtimes	A foreign-language search report from a foreign patent office is provided, and pertinent parts are translated substantively below:
	 X = document of particular relevance when it is taken alone Y = document of particular relevance when it is combined with another such document A = document defining the general state of the art O = non-written disclosure P = intercalated document T = document cited to understand the theory or principle underlying the invention E = patent document which has the benefit of a date earlier than the filing date and which was published only on or after this filing date D = cited in the application L = cited for another reason & = publication of member of same patent family
\triangleright	<u> </u>
	In the search report, "Seite" means page, "Seiten" means pages, "Verbindungen der Formel" means Figure of formula, "Beispele" means examples, and "das ganze Dokument" means the entire document, "Spalte" means column, "Zeile" means line, "Abbildungen" means claims, "Anspruch" means example, "Zusammenfassung" means summary, and "Tabelle" means table, and "Tabellen" means tables "in der Anmeldung erwaehnt" means cited in the application, "Schema" means scheme, "und" means and, "Absatz" means break, "Abildung" means figure.
Other Info	<u>ormation</u>
Payment of	of Fees Due (If Any):
· A	check for \$ covering the fee identified above is attached.
□ Pl	ease charge to Deposit Account No. 13-3402 \$ for the fee identified above.





Respectfully submitted,

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AJZ:ssr



PTO/SB/08A (08-00)

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Substitute for form 1449A/PTO Complete if Known Application Number USNP of PCT/EP2003/009801 INFORMATION DISCLOSURE Filing Date 4 September 2003 (04.09.2003) STATEMENT BY APPLICANT Adalbert HUBER, ET AL First Named Inventor Group Art Unit unknown (use as many sheets as necessary) **Examiner Name** unknown Sheet of **MERCK-2981** 1 Attorney Docket Number

	U.S. PATENT DOCUMENTS					
Examiner Initials *	Cite No.1	U.S. Patent Document Kind Code ² Number (if known)		Name of Patentee or Applicant of Cited Document	Date of Publication of Cited Document MM-DD-YYYY	
	001	2003012954		SCHAUER, ET AL.	01-16-2003	
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	FOREIGN PATENT DOCUMENTS							
		Foreign Patent Document			Date of Publication of	Pages, Columns, Lines, Where Relevant		
Examiner Initials*	Cite No.1	Office ³	Number⁴	Kind Code ⁵ (<i>if known</i>)	Name of Patentee or Applicant of Cited Document	Cited Document MM-DD-YYYY	Passages or Relevant Figures Appear	T ⁶
	002	wo	0160926		EISENBACH, ET AL.	08-23-2001		001
	003	wo	03014229		EISENBACH, ET AL.	02-20-2003		
	004	wo	0192359		FORSCH, ET AL.	12-06-2001		

Examiner	Date
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